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U S Patent and Trademark Office U S DEPARTMENT OF COMMERCE

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No	Q98-1097-US2
First Inventor	PATAPOUTIAN, Ara et al
Title	IMPROVING THE DATA STORAGE CAPACITY OF DATA STORAGE MEDIA
Express Mail Label No.	ET564706497US

JC8873

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**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2.  Applicant claims small entity status  
See 37 CFR 1.27.
3.  Specification [Total Pages 53]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Statement Regarding Fed sponsored R & D
  - Cross References to Related Applications
  - Reference to a sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawing(s) (35 U.S.C. 113) [Total Sheets 8]
5. Oath or Declaration [Total Pages ]  
 a.  Newly executed (original or copy)  
 b.  Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 18 completed)
  - i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
Named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6.  Application Data Sheet See 37 CFR 1.76

**ADDRESS TO:** Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.  Computer Readable Copy (CRF)  
Specification Sequence Listing on
  - b. i.  CD-ROM or CD-R (2 copies); or  
ii.  paper
  - c.  Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9.  Assignment Papers (cover sheet & document(s))
10.  37 CFR 3.73(b) Statement  
(when there is an assignee)  Power of Attorney
11.  English Translation Document (if applicable)
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16.  Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i) Applicant must attach form PTO/SB/35 or its equivalent
17.  Other .....

18. If a CONTINUATING APPLICATION, check appropriate box, and supply the requisite information and in a preliminary amendment, Or in an Application Data Sheet under 37 CFR 1.76

 Continuation     Divisional     Continuation-in-part (CIP)

of prior application No. 09/225,251

Prior application information

Examiner P. Chung

Group / Art Unit 2133

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS**

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	<input type="checkbox"/> (Insert Customer No. or Attach bar code label here) 29340	or <input type="checkbox"/> Correspondence address below			
Name	Debra A. Chun PATENT & TRADEMARK OFFICE				
Address	4327 Dawes St.				
City	San Diego	State	CA	Zip Code	92109
Country	USA	Telephone	858-232-6542	Fax	858-272-6070
Name (Print/Type)	Debra A. Chun		Registration No. (Attorney/Agent)	38,700	
Signature			Date	August 7, 2001	

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

JC653 U.S. PTO  
09/924064  
08/07/01

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# FEE TRANSMITTAL for FY 2001

*Patent fees are subject to annual revision.*

TOTAL AMOUNT OF PAYMENT	( <u>\$</u> ) 1714
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**Complete if Known**

Application Number	
Filing Date	August 7, 2001
First Named Inventor	PATAPOUTIAN, Ara et al.
Examiner Name	
Group Art Unit	
Attorney Docket No.	Q98-1097-US2

**METHOD OF PAYMENT**

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:  
 Deposit Account Number   
 Deposit Account Name   
 Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
 Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:  
 Check     Credit card     Money Order     Other

**FEE CALCULATION (continued)**
**3. ADDITIONAL FEES**

Fee Code (\$)	Large Entity Fee	Small Entity Fee	Fee Description	Fee Paid
105	130	205	65 Surcharge - late filing fee or oath	<input type="text"/>
127	50	227	25 Surcharge - late provisional filing fee or cover sheet	<input type="text"/>
139	130	139	130 Non-English specification	<input type="text"/>
147	2,520	147	2,520 For filing a request for ex parte reexamination	<input type="text"/>
112	920*	112	920* Requesting publication of SIR prior to Examiner action	<input type="text"/>
113	1,840*	113	1,840* Requesting publication of SIR after Examiner action	<input type="text"/>
115	110	215	55 Extension for reply within first month	<input type="text"/>
116	390	216	195 Extension for reply within second month	<input type="text"/>
117	890	217	445 Extension for reply within third month	<input type="text"/>
118	1,390	218	695 Extension for reply within fourth month	<input type="text"/>
128	1,890	228	945 Extension for reply within fifth month	<input type="text"/>
119	310	218	155 Notice of Appeal	<input type="text"/>
120	310	220	155 Filing a brief in support of an appeal	<input type="text"/>
121	270	221	135 Request for oral hearing	<input type="text"/>
138	1,510	138	1,510 Petition to institute a public use proceeding	<input type="text"/>
140	110	240	55 Petition to revive - unavoidable	<input type="text"/>
141	1,240	241	620 Petition to revive - unintentional	<input type="text"/>
142	1,240	242	620 Utility issue fee (or reissue)	<input type="text"/>
143	440	243	220 Design issue fee	<input type="text"/>
144	600	244	300 Plant issue fee	<input type="text"/>
122	130	122	130 Petitions to the Commissioner	<input type="text"/>
123	50	123	50 Processing fee under 37 CFR 1.17(q)	<input type="text"/>
126	180	126	180 Submission of Information Disclosure Stmt	<input type="text"/>
581	40	581	40 Recording each patent assignment per property (times number of properties)	<input type="text"/>
146	710	246	355 Filing a submission after final rejection (37 CFR § 1.129(a))	<input type="text"/>
149	710	249	355 For each additional invention to be examined (37 CFR § 1.129(b))	<input type="text"/>
179	710	279	355 Request for Continued Examination (RCE)	<input type="text"/>
169	900	168	900 Request for expedited examination of a design application	<input type="text"/>
Other fee (specify) _____				<input type="text"/>

**SUBTOTAL (1) (\$) 710**
**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
58	-20** = 38	X 18 = 684	<input type="text"/>
Independent Claims	7	- 3** = 4 X 80 = 320	<input type="text"/>
Multiple Dependent			<input type="text"/>

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103	18	203
102	80	202
104	270	204
109	80	209
110	18	210
		9
Claims in excess of 20		
Independent claims in excess of 3		
Multiple dependent claim, if not paid		
** Reissue independent claims over original patent		
** Reissue claims in excess of 20 and over original patent		
<b>SUBTOTAL (2) (<u>\$</u>) 1004</b>		

\*or number previously paid, if greater; For Reissues, see above

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)**

**SUBMITTED BY**

Name (Print/Type)	Debra A. Chun	Registration No. (Attorney/Agent)	38,700	Telephone	858-232-6542
Signature	<i>Debra A. Chun</i>			Date	August 7, 2001

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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**NONPUBLICATION REQUEST  
UNDER  
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor	PATAPOUTIAN, Ara Et Al.
Title	IMPROVING THE DATA STORAGE CAPACITY OF DATA STORAGE MEDIA
Atty Docket Number	Q98-1097-U62

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

Aug. 7, 2001

Date

Signature

Debra A. Chun, Reg No. 38700

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**